

TARDEC



RDECOM-TARDEC SBIR Program

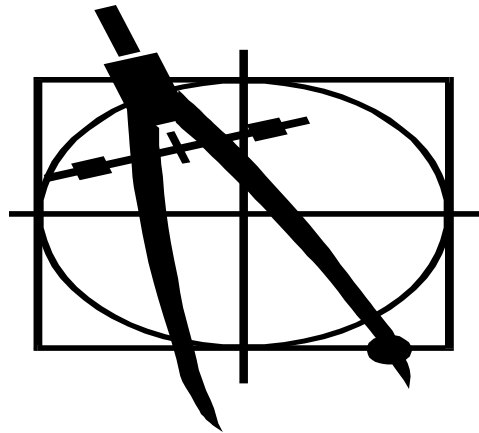
Technology Partnership Team

**2004 Dual Use
Conference**

DISTRIBUTION STATEMENT

Small Business Innovation Research (SBIR) Program

An Extramural Program Reserved for Small Business



- Successfully Transferring New Technology from Concept to Market

SBIR - Definition

Set-aside program for small business concerns to engage in federal R&D -- with potential for commercialization.

SBIR Program History & Law

Why SBIR? - Small Business Innovation Development Act of 1982
Congress designated 4 major goals

- **Stimulates technological innovation.**
- **Uses small businesses to meet Federal R & D needs**
- **Fosters & encourages participation by socially and economically disadvantaged small businesses.**
- **Increases private sector commercialization of innovations derived from Federal R & D, thereby increasing competition, productivity and economic**

SBIR Program History & Law

- **Government-wide Program established by Congress in 1982 to promote small business participation in Federal Research and Development (R&D)**
- **P.L. 102-564; Signed 10/28/92. The SBIR R&D Enhancement Act of 1992 extended the SBIR Program until Oct 2000.**
- **P.L. 106-554; Signed 12/21/00. The Act HR 5667 of December 2000 extended the Program until 2008.**
- **DOD SBIR Program administered in accordance with Small Business Administration (SBA) SBIR Policy Directives**

SBIR - Benefits

- **Serves Army R&D needs by identifying and funding innovative projects proposed by the small business community**
- **Allows Army Labs & RDECs to tap into advanced technologies of small firms**
- **Dual use technologies**
- **DoD funds feasibility and R&D**
- **Industry develops product & market**
- **Visit www.acq.osd.mil/sadbu/sbir for more details**

SBIR - Cycle

- Call for topics
- Topic review (Local Command/Army/DoD)
- Topic selection
- Solicitation pre-release
- Solicitation opens (proposal submission)
- Solicitation closes
- Phase I proposal evaluations
- Phase I recommendations/selections for awards
- Negotiate/award Phase I contracts (6 month performance)
- Invite performers to submit Phase II proposal
- Phase II proposal evaluations
- Phase II recommendations/selection for awards
- Exercise Phase I option (4 month performance)
- Negotiate/award Phase II contracts (2-year performance)
- Phase III - Commercialization

SBIR - Features

Next Army solicitation available on Web 3 MAY 2004

<http://www.acq.osd.mil/sadbu/sbir/solicitations/sbir043/index.htm>

- **Feasibility Study**
- **\$100K and 6 months (Army \$70K)**
- **(Army \$50K Option)**

PHASE II

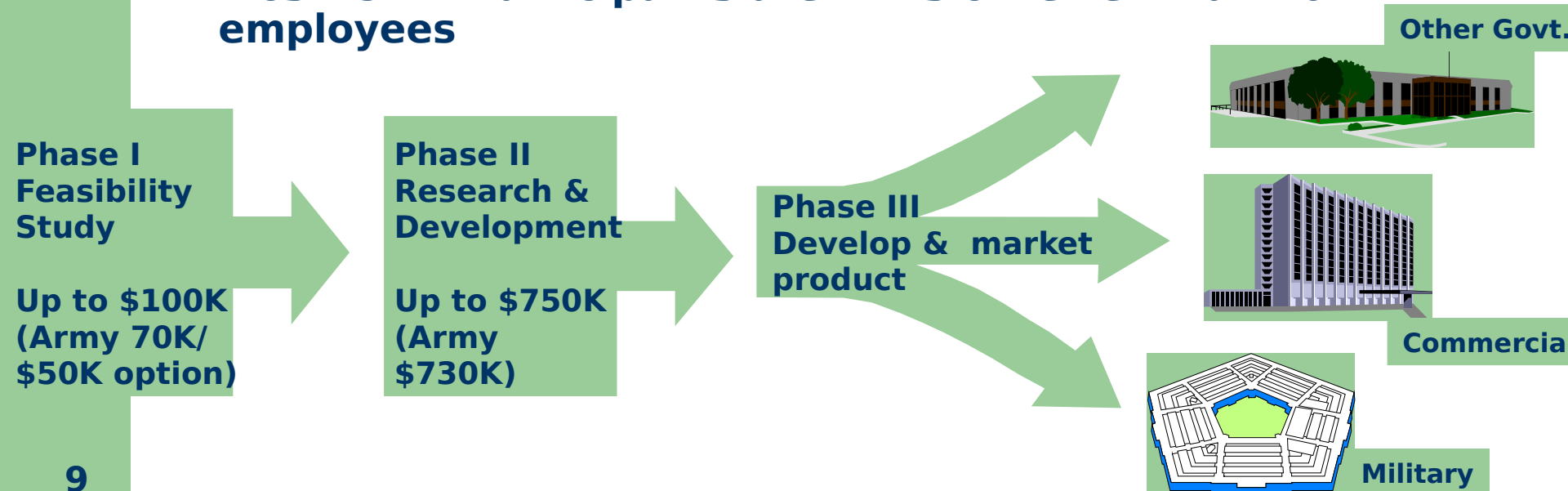
- **Full R/R&D**
- **2 - Year Award and \$750K (Army \$730K)**

PHASE III

- **Commercialization Stage**
- **Use of non-SBIR Funds**

SBIR Program

- Uses a three-phase approach, involving projects of high technical risk, to establish technical feasibility
- Army only participates in the annual Spring solicitation
- Most SBIR Participants are firms of fewer than 10 employees



SBIR Program - Fast Track Incentive Program

- Accelerated Phase II process for Phase I contractors with investors matching Phase II SBIR funding
- Provides incentive to build strategic partners for Phase III investment and marketing as early as Phase I
- Benefits of the process:
 - Interim funding up to \$50,000 between Phase I and II
 - Expedited Phase II evaluation, selection and award
- Qualifications:
 - Fast Track application 120 days after Phase I award
 - Independent investor commitment for funds in cash
- Matching Rates: 4:1 matching-new firms, 1:1 others
- Visit
<http://www.acq.osd.mil/sadbu/sbir/fasttrack/index.htm>

SBIR Program - Phase II Plus Incentive Program

- **Phase II enhancement program**
 - **Extended R&D efforts to meet product, process or service requirement of third party investor.**
 - **Accelerate the Phase II project into Phase III**
- **SBIR matching third-party funds up to \$250k**
- **Extension of Phase II project up to one year**
- **Applications 3 months prior to the end of Phase II**
 - **Matching funds provided by third-party investor**
- **Visit**
<http://www.aro.army.mil/arowash/rt/sbir/guidance.htm>

SBIR Program - Time Table

PHASE I

Topic Generation(TARDEC)	OCT-DEC 2003
Topic Generation(Army-DoD)	DEC 2003 - APR 2004
Topic Pre-release on Web	03 MAY 2004
Solicitation Opens	01 JUL 2004
Solicitation Closes	12 AUG 2004
Proposal Evaluation	AUG - OCT 2004
Negotiate Contracts	NOV - DEC 2004

SBIR Program - Time Table

PHASE II

Invite Proposals APR 04

Proposals Due 10 MAY 04

**Proposal Evaluations mid MAY - mid
JUN 04**

Phase II Selection mid JUL 04

Phase I Option Exercised mid JUL 04

Negotiate Contracts JUL - NOV 04

Eligibility and Limitations

Must qualify as small business for research as defined below:

- **Organized for profit, with a place of business located in the United States**
- **Legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative**
- **At least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States**
- **Has, including its affiliates, not more than 500 employees**

Eligibility and Limitations, Cont.

Small business must:

- Perform two-thirds work for Phase I
- Perform one-half work for Phase II
- Primary employment of the principal investigator must be with the small business
- Work must be performed by the small business concern in the United States

Conflicts of Interest

Awards made to firms owned by or employing current or previous Federal Government employees:

- **Could create conflicts of interest for those employees in violation of federal law**
- **Contact the cognizant Ethics Counselor from the employees' Government agency for further guidance**

Tips

Things to remember:

- DoD's SBIR 2004.3 Solicitation available in HTML, PDF and DOC formats on the web at:
<http://www.acq.osd.mil/sadbu/sbir/solicitations/sbir043/index.htm>
- Officially opens on 7/01/04 and proposals will be due (at DoD) by 6:00 AM on 12 August 2004
- The DoD topics search Web site can be found at:
<http://www.dodsbir.net/Topics/Default.asp> or
<http://stinet.dtic.mil/str/>

Tips, cont.

Things to remember:

- **Pre-Solicitation from 3 May - 30 Jun 04. Cannot speak directly to topic authors after 1 Jul 04**
- **SITIS bulletin board system will be available to accept queries until 31 July 2004.**
- **Before you submit a proposal check bulletin board even if you don't need to ask a question, you should view your competitor's questions and the DoD's answers at:
<http://dtica.dtic.mil/sbir/sbirmenu.html>**

Tips, cont.

Things to remember:

- **ALL SBIR offerors MUST register electronically via the Web at:**
<http://www.dodsbir.net/submission/>
- **Via the same Web site you will submit:**
 - a) DoD Proposal Cover Sheet (cover and summary abstract),**
 - b) ENTIRE Technical Proposal with any appendices,**
 - c) Cost Proposal, and the**
 - d) Company Commercialization Report**

Tips, cont.

Things to remember:

- DoD require proposals submitted **ONLY** in PDF format.
- DoD Help Desk can be contacted via:

Phone: 866-SBIRHLP (866-724-7457)

E-mail: a facility to submit e-mail questions can be found at <http://www.dodsbir.net/helpdesk/>

Tips, cont.

Things to remember:

- Prior to receiving a contract award, the offeror must be registered in the Central Contractor Registration (CCR) database. For information regarding registration, call 1-888-227-2423 or visit <http://www.ccr.gov/>
- You are required to, “Identify any foreign nationals you expect to be involved on this project, country of origin and level of involvement”

Tips, cont.

Things to remember:

Phase I options:

- Allowed by Army (up to \$50K)
- Should be fully costed separately from the Phase I (base) approach
- Should have separate work plan from Phase I
- Both cost proposal and work plan needs to be part of Phase I proposal

Tips, cont.

Type of contracts:

Phase I - Firm Fixed Price (FFP)

- Provides for a price that is not subject to any adjustment on the basis of the contractor's cost experience in performing the contract.
- This type of contract places upon the contractor maximum risk and full responsibility for all costs and resulting profit or loss.

Tips, cont.

Type of contracts:

Phase II - Cost Plus Fixed Fee (CPFF)

- The fixed fee once negotiated, does not vary with actual cost, but may be adjusted as result of any subsequent changes in the scope of work or services to be performed under the contract.
- Provides for payment to the contractor of allowable costs incurred in the performance of the contract, to the extent prescribed in the contract. Provides for the payment of a fixed fee to the contractor.

Army Technology Areas

1. **Advanced Materials and Manufacturing (3)**
2. **Microelectronics and Photonics (2)**
3. **Sensors and Information Processing (4)**
4. **Simulation and Modeling for Acquisition, Requirements, and Training (5)**
5. **Advanced Propulsion Technologies (11)**
6. **Power and Directed Energy (1)**
7. **Biological, Chemical & Nuclear Defense (1)**
8. **Life, Medical, and Behavioral Sciences (0)**
9. **Environmental and Geosciences (2)**
10. **Engineering Sciences (3)**

Working With The NAC

- The primary mission of the National Automotive Center (NAC) is to serve as a catalyst linking industry, academia and government in the development and exchange of automotive technologies that will benefit all sectors.*

For more information on the SBIR program, please contact:

**U.S. Army
National Automotive
Center**

AMSRD-TAR-N / MS 121
6501 E. 11 Mile Road
Warren, MI 48397-5000
POC: Jim Mainero
Phone: 586-574-8730

For more information on the SBIR program, please contact:

**U.S. Army
National Automotive
Center**

AMSRD-TAR-N / MS 121
6501 E. 11 Mile Road
Warren, MI 48397-5000
POC: Alex Sandel
Phone: 586-574-7545

Visit www.tac.army.mil/tardec/sandpact.htm on the web!